



Housing Opportunities for Persons With AIDS (HOPWA) Program

Consolidated Annual Performance and Evaluation Report (CAPER)

Measuring Performance Outcomes

OMB Approval No. 2506-0133 (exp.04/30/07)

This report is for use by HOPWA formula grantees to provide for annual information on the accomplishments of the projects in providing housing assistance for low-income persons living with HIV/AIDS and their families. This information is also covered under the Consolidated Plan Management Process (CPMP) report, which includes Narrative Responses and Performance Charts on information that grantees must provide under the Consolidated Planning Regulations. The public reporting burden for the collection of information is estimated to average 30 hours per manual response, or 20 hours if an automated data collection and retrieval system is in use, along with 60 hours for recordkeeping, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Grantees are required to report on the activities undertaken only, thus there may be components of these reporting requirements that may not be applicable. In addition, the use of PDF form reporting offers the use of electronic reporting. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

HOPWA Formula Grantee Annual Reporting – Measuring Performance Outcomes in the CAPER Narrative and Charts

(OMB Approval No. 2506-0133; exp. 04/30/07)

In this Consolidated Annual Performance and Evaluation Report (CAPER) edition, the U.S. Department of Housing and Urban Development is emphasizing grantee performance and the use of client outcome measures in demonstrating program effectiveness. Toward this end, the HOPWA CAPER elements for formula grant recipients have been revised to incorporate new performance measure reporting requirements. These are designed to help grantees and project sponsors aggregate results from the use of HOPWA resources: (1) to provide housing assistance as the new annual output measure; and (2) to collect client information demonstrating the outcome for improved housing stability for this special needs population.

HOPWA grantees must submit a CAPER on the activities undertaken during the program year in coordination with the use of the other Consolidated Plan resources. In addition to the integration of this information in the standard report, HOPWA specific information is discussed in this form, along with the HOPWA summary data charts. HOPWA grantees are required to use the Integrated Disbursement Information System (IDIS) to provide complete annual performance information on the use of program and other funds. HUD uses the CAPER and IDIS data to obtain essential information on grant activities, project sponsors, housing sites and related number of units of housing, along with information on HOPWA beneficiaries (which must include racial and ethnic data on program participants). Such information is used for program monitoring and evaluation purposes and for reporting on accomplishments. CAPER data must reflect a summary of the performance data that is entered into IDIS for that same program year, for example, on the HOPWA activities reported under the program's series 31 matrix codes.

Instructions: Within 90 days after the end of each program year, the information in this package must be submitted to the CPD director in the grantee's State or Area HUD Office, with one copy submitted to the HOPWA Program Office, Office of HIV/AIDS Housing, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW Washington, D.C. 20410.

To report progress under these general and HOPWA specific requirements, the grantee may integrate the HOPWA elements in their standard CAPER report or establish a HOPWA-specific narrative by completing the following information. These elements are also found in the optional Consolidated Plan Management Process tool (CPMP), which is available for use in planning and reporting on Consolidated Plan activities:

Part 1: HOPWA Grantee Specific Objectives Narrative.

Provide an executive summary (1-5 pages) and a specific objectives narrative which address the following:

A. Grantee and Community Overview – (Web summary)

A brief description of the grant organization, the area of service, the name of program contact(s), and a broad overview of the range/type of housing activities, along with information on each sponsor by name, main project site by zip code and related organization information.

B. Annual Performance under the Action Plan

1. Report on the actions taken during the year that addressed the special needs of persons who are not homeless but require supportive housing, and assistance for persons who are homeless.

2. Evaluate the progress in meeting the project's objectives for providing affordable housing, including a comparison of actual outputs and outcomes to proposed goals and progress made on the other planned actions indicated in the strategic and action plans. The evaluation can address any related program adjustments or future plans.

3. Include any assessment of client outcomes for achieving housing stability, reduced risks of homelessness and improved access to care.

4. Report on the use of committed leveraging from other public and private resources that helped to address needs identified in the plan. Report the number of stewardship units of housing which have been created through acquisition, rehabilitation or new construction with any HOPWA funds.

5. Describe any other accomplishments recognized in the community due to the use of HOPWA funds, including any projects in developmental stages that are not operational.

6. Provide an analysis of the extent to which HOPWA funds were distributed among different categories of housing needs consistent with the geographic distribution plans identified in its approved Consolidated Plan.

C. Barriers or Trends Overview

1. Describe any barriers (including non-regulatory) encountered, actions in response to barriers, and recommendations for program improvement.

2. Describe any expected trends facing the community in meeting the needs of persons living with HIV/AIDS, and provide any other information important in providing services to persons with HIV/AIDS.

3. Note any evaluation, studies, or other assessments of the HOPWA program available to the public.

Part 2: Accomplishment Data – (Web summary information)

1. Complete and submit CAPER Performance Chart 1 Planned Goals and Chart 2 Actual Performance;

2. Complete and submit CAPER Performance Chart 3 Housing Stability Outcomes.

Note: in connection with this CAPER, similar information must be entered and submitted in IDIS. Use the IDIS MA04 screen actual accomplishment data to compare results with proposed accomplishment data for (1) all active HOPWA activities and (2) activities completed in the most recent program year; and enter and submit into the related HOPWA accomplishment IDIS screens accomplishment data for (1) each active HOPWA activity and (2) activities completed in the most recent program year.

CAPER Explanation: The attached charts are to be used in connection with the grantee narrative and performance assessment portion of the CAPER. Under that annual report, grantees address their actions and report on performance with the use of federal and other funds during the operating year. Grantees of HOPWA funding are required in the CAPER's narrative to explain how the HOPWA-related activities address strategic plan objectives and to evaluate progress in providing affordable housing and addressing

the needs of homeless persons and the special needs of persons that are not homeless but require supportive housing, including persons living with HIV/AIDS and their families. Grantees must complete and submit the attached charts as required under the Part 2: Accomplishment Data section.

Performance Charts 1 Planned Goals and 2 Actual Performance are integrated and will help illustrate progress in leveraging resources by providing a means to report on the grantee's progress in obtaining "other" public and private resources that address needs identified in the plan. The HOPWA section of the CAPER also requires that grantees provide a narrative with information on what other resources were used in conjunction with HOPWA-funded activities. These charts provide a method to illustrate this use of other resources in addressing the housing needs of persons living with HIV/AIDS and their families and the supportive services provided.

Performance Chart 3 uses client outcome measures to demonstrate program effectiveness. The HOPWA program's overall outcome is that assisted households have been enabled to better maintain a stable living environment in housing that is safe, decent, and sanitary, and to reduce the risks of homelessness, and improve access to HIV treatment and other health care increases through the use of annual resources with the goal that this reaches 80 percent by 2008. Two optional worksheets help illustrate results on client outcomes.

Goal is the planned scope of the HOPWA activity and related program budget measuring the number of households to be assisted or units of housing in facilities, along with its funding.

Actual is the performance accomplished during the grantee operating year, including activities undertaken by all project sponsors using HOPWA funds under this program.

Tenant-based Rental Assistance (TBRA) means a form of ongoing rental housing subsidy for the individual or household, such as tenant-based rental assistance payments or other scatter-site units that may be leased by the client, in which the amount is determined based in part on household incomes and rent costs. Project-based costs should be counted in the operation costs category.

Short-term Rent, Mortgage and Utility payments (STRMU) means a limited subsidy or payments subject to the limited time period to prevent the homelessness of a household (e.g., HOPWA short-term rent, mortgage and utility payments within a 21 week period).

Units in facilities supported with operating costs means the facility units and costs for leasing, maintaining or operating the housing facility, such as a community residence, SRO dwelling or other multi-unit dwelling; transitional housing, project-based rental assistance and leasing costs should be counted in this category as well as costs for minor repairs or other maintenance costs, costs for security, operations, insurance, utilities, furnishings, equipment, supplies, other incidental costs in providing housing to clients in these units. Supportive service costs associated with counseling programs, skills development, etc. should **not** be counted as housing costs. (These costs are captured under supportive service costs.)

Units in facilities developed with capital costs and placed in service during the program year means units and costs for the development or renovation of a housing facility, such as a

community residence, SRO dwelling or other multi-unit dwelling, in which costs for acquisition of the unit, new construction or conversion, substantial or non-substantial rehabilitation of the unit were expended during the period and the number of units reported were used by clients for some part of this period.

Units in facilities being developed with capital costs but not yet opened means units and costs for the development or renovation of a housing facility were expended during the period BUT the units were still in development and not yet used by clients during the period. Please do not report "planned" units for which no capital costs or related pre-development costs were incurred.

Stewardship Units means those units developed with HOPWA but no longer have current operation or other housing costs. Report information as the units remain subject to the three- or ten-year use agreements.

Housing Assistance Total means the non-duplicated number of households receiving housing subsidies and the units of housing in facilities that were dedicated to persons living with HIV/AIDS and their families that were supported with HOPWA or other funds during this operating year.

Amount of Non-HOPWA Funds means the amount of funds that were expended during the reporting period from non-HOPWA sources that are under the control of the Grantee or sponsors in dedicating assistance to this client population. Please only count other leveraged funds or other assistance that is directly connected to the HOPWA or community HIV/AIDS housing program in providing housing assistance or other support or services, to the degree that this is practicable.

TOTAL by type of housing assistance/services means the non-duplicated number of units of housing (by type of housing) that were dedicated to persons living with HIV/AIDS and their families or services provided and that were supported with HOPWA and other funds, during this operating year.

Output Assessed: The number of units of housing or households that receive HOPWA housing assistance during the operating year.

Outcome Assessed: The HOPWA-assisted households who have been enabled to establish or better maintain a stable living environment in housing that is safe, decent, and sanitary, and to reduce the risks of homelessness, and improve access to HIV treatment and other health care increases through the use of annual resources with the goal that this is achieved for at least 80 percent of clients by 2008.

Grassroots organization. The term grassroots organization means the organization is headquartered in the local community to which it provides services; it has a social services budget of \$300,000 or less annually; and it has six or fewer full-time equivalent employees. Local affiliates of national or larger organizations are not considered "grassroots."

Permanent Housing Placement: A supportive housing service that helps establish the household in the housing unit, including reasonable costs for security deposits not to exceed two months of rent costs.

HOPWA CAPER	
Grantee Name	
Grant Reporting Period	___/___/___ to ___/___/___

Part 1-A. Executive Summary.

This module is optional but encouraged. If you choose to complete it, provide a brief overview that includes major initiatives and highlights that were proposed and executed throughout the first year. Also list the project sponsors, their main HOPWA project location by zip code, and check the other information for each if appropriate.

Program Year 1 CAPER Executive Summary response:

--

General Project Sponsor Information (for each project sponsor):

Project Sponsor Agency Name			
Name & Title of Contact at Project Sponsor Agency			
Email Address			
Business Address			
City, State, Zip			
Phone (include area code)		Fax Number (include area code)	
Website			
Total HOPWA Subcontract Amount for this organization			
Primary Service or Site Information: Project Zip Code(s)			
Is the sponsor a nonprofit organization?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i> <input type="checkbox"/>		

1-B. Program Year 1 CAPER Specific HOPWA Objectives -- Annual Performance under the Action Plan:

--

1-C. Program Year 1 CAPER Specific HOPWA Objectives -- Barriers or Trends Overview:

--

2. Instructions on HOPWA CAPER Chart 1 (planned goal) and Chart 2 (actual):

Please enter the numbers corresponding to performance over the period of time indicated as the operating period for this activity, generally a one-year period based on the grantee's Consolidated Plan cycle. Output performance is measured by the number of households (and planned units of housing) that were supported with HOPWA or other federal, state, local and private funds for the purposes of providing housing assistance or residential support to persons living with HIV/AIDS and their families. Note that the number of households receiving housing support from HOPWA funds must be the same as reported in the annual year-end IDIS data for the three general types of housing: (1) Rental assistance payments; (2) Short-term rent, mortgage and utility payments; and (3) Units in facilities such as community residences, SRO dwellings or other facilities, in which operating or development costs are incurred.

	HOPWA Performance Charts 1 (planned goal) and 2 (actual)	Outputs Households				Funding		
		HOPWA Assistance		Non-HOPWA				
		a.	b.	c.	d.	e.	f.	g.
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual	Leveraged Non-HOPWA
1.	Tenant-based Rental Assistance							
2.	Short-term Rent, Mortgage and Utility payments							
3.	Facility-based Programs							
4.	Units in facilities supported with operating costs							
5.	Units in facilities developed with capital funds and placed in service during the program year							
6.	Units in facilities being developed with capital funding but not yet opened (show units of housing planned)							
7.	Stewardship (developed with HOPWA but no current operation or other costs) Units of housing subject to three- or ten-year use agreements							
8.	Adjustment for duplication of households (i.e., moving between types of housing)							
	Total unduplicated number of households/units of housing assisted							
	Supportive Services							
9.	i) Supportive Services in conjunction with housing activities for households above in HOPWA assisted units		*					
	ii) Supportive Services in conjunction with housing activities for households above in non-HOPWA assisted units		**					
	Total Supportive Services							
	Housing Placement Assistance							
10.	Housing Information Services		**					
11.	Permanent Housing Placement Services		**					
	Total Housing Placement Assistance							
	Housing Development, Administration, and Management Services							
12.	Resource Identification to establish, coordinate and develop housing assistance resources							
13.	Grantee Administration (maximum 3% of total) (i.e., costs for general management, oversight, coordination, evaluation, and reporting)							
14.	Project Sponsor Administration (maximum 7% of total) (i.e., costs for general management, oversight, coordination, evaluation, and reporting)							
	Total costs for program year							

* Number equals supportive services for HOPWA-funded housing assistance (See Chart 4-a).

** If money is spent on these activities for case management and/or education/employment training activities, housing information services or permanent housing placement activities but is not committed to HOPWA-funded Housing Assistance; then the outcomes are also reported (See Chart 4 -b.).

3. Instructions on HOPWA CAPER Chart 3 on Measuring Housing Stability Outcomes:

Please enter in column 1 the total number of eligible households that received the types of housing assistance specified. In column 2, enter the number of eligible households continuing to participate in each specified type of assistance (which might involve a temporary absence of not more than 90 days for treatment purposes, with an intent to return). In column 3, enter the number of households within each specified type of housing assistance who left the program during the program year by destination. If a household fractured during the program year, report only on the destination of the individual that made the household HOPWA eligible. Please refer to the destination codes that appear below this table for reviewing the stability housing outcomes. (PY1 = Program Year 1)

Type of Housing Assistance	1. Total Number of Households	2. Number Remaining in Project	3. Destination for households:		
					Number of households in Program Year
Short-term Rent, Mortgage, and Utility Assistance	PY1	PY1	Emergency Shelter		
			Temporary Housing		
			Private Housing		
			Other HOPWA		
			Other Subsidy		
			Institution		
			Jail/Prison		
			Disconnected		
			Death		
Tenant-based Rental Assistance	PY1	PY1	Emergency Shelter		
			Temporary Housing		
			Private Housing		
			Other HOPWA		
			Other Subsidy		
			Institution		
			Jail/Prison		
			Disconnected		
			Death		
Facility-based Housing Assistance	PY1	PY1	Emergency Shelter		
			Temporary Housing		
			Private Housing		
			Other HOPWA		
			Other Subsidy		
			Institution		
			Jail/Prison		
			Disconnected		
			Death		

4. HOPWA Outcomes on Access to Care and Support.

a. Support in conjunction with HOPWA-funded Housing Assistance. Please report on the access to services for households receiving HOPWA-funded housing assistance for all households shown (see Chart 2, box 9 i)-b), including supportive services such as from case management and/or education/employment training activities or from housing information services undertaken in conjunction with housing activities. Report on the household status at program entry (or beginning of program year for households continuing from previous year) and program exit (or end of program year for households continuing services in the following program year).

Category of Services Accessed	HOPWA Housing Assistance	
	At Entry or Continuing	At Exit or Continuing
i. Has a housing plan for maintaining or establishing stable on-going residency		
ii. Had contact with a case manager at least once in the last three months		
iii. Had contact with a primary health care provider at least once in the last three months		
iv. Had medical insurance coverage or medical assistance		
v. Obtained an income-producing job created by this project sponsor during the year		
vi. Received a successful referral to a job created outside this agency during the year		

b. Support NOT in conjunction with HOPWA-funded Housing Assistance. Please report on the access to services for households receiving support (from case management and/or education/employment training activities, from housing information services or from permanent housing placement activities) that is NOT related or connected to this household also receiving HOPWA-funded housing assistance (see Chart 2 box 9 ii)-b, 10-b and 11-b). Report on the household status at program entry (or beginning of program year for households continuing from previous year) and program exit (or end of program year for households continuing services in the following program year).

Category of Services Accessed	NON-HOPWA Housing Assistance	
	At Entry or Continuing	At Exit or Continuing
i. Has a housing plan for maintaining or establishing stable on-going residency		
ii. Had contact with a case manager at least once in the last three months		
iii. Had contact with a primary health care provider at least once in the last three months		
iv. Had medical insurance coverage or medical assistance		
v. Obtained an income-producing job created by this project sponsor during the year		
vi. Received a successful referral to a job created outside this agency during the year		

c. Income. Report on the average median income of households served with HOPWA-funded housing assistance (see Chart 2 box 9-b). For information on average median income in your area, please refer to www.hud.gov.

Percentage of average median income by area		Housing Assistance	
		At Entry or Continuing	At Exit or Continuing
i.	0-30% of average median area income (very low)		
ii.	31-50% of average median area income (low)		
iii.	51-80% of average median area income (moderate)		

5. (Optional) Worksheet on HOPWA Housing Stability Outcomes.

This chart is designed to help you access program results based on the information reported above.

Type of Housing Assistance	Number in stable housing	Number in unstable situations	Percent Stable/total
Short-term Rent, Mortgage, and Utility Assistance (STRMU)	(3+4+5+6=#)	(# remaining in program plus 1+2+7+8=#)	
Tenant-based Rental Assistance (TBRA)	(# remaining in program plus 3+4+5+6=#)	(1+2+7+8=#)	
Facility-based Housing Assistance	(# remaining in program plus 3+4+5+6=#)	(1+2+7+8=#)	
Housing Assistance Outcomes			
Prior Year Results			

Housing Stability Codes - households leaving HOPWA-assisted housing unit for this destination/reason:

Short-term Housing

1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).

2 = Temporary housing--moved in with family/friends or other short-term arrangement, such as Ryan White subsidy, transitional housing for homeless, other short-term rent, mortgage and utility programs and temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center).

Stable Permanent Housing/Ongoing Participation

3 = Housing in the private rental or home ownership market (without subsidy, including permanent placement with families).

4 = Other HOPWA-funded housing assistance (**not including STRMU**).

5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, public housing).

6 = Institutional setting with greater support and continual residence expected (e.g., residential or long-term care facility).

Life Events

7 = Jail /prison.

8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

9 = Death, i.e., remained in housing until death. This characteristic does not factor into the stability equation.

STRMU assistance: **Stable Housing** is the sum of the number of clients who left the assistance with a reasonable expectation that they will survive on their own after HOPWA assistance (as this is a time-limited form of housing support) as shown as items: 3, 4, 5, and 6. **Unstable Situations** is the sum of those remaining in STRMU program at year-end (who have not yet reached their 21-week limit) plus the numbers reported under items 1, 2, 7, and 8.

Tenant-based Rental Assistance: **Stable Housing** is the sum of the number of clients who (i) remain in the housing and (ii) those who left the assistance as shown as items: 3, 4, 5, and 6. **Unstable Situations** is the sum of numbers reported under items 1, 2, 7, and 8.

Facility-based forms of housing assistance: **Stable Housing** is the sum of the number of clients who (i) remain in the housing and (ii) those who left the assistance as shown as items: 3, 4, 5, and 6. **Unstable Situations** is the sum of numbers reported under items 1, 2, 7, and 8.

Prior Year Results. As a baseline for assessment purposes, please indicate information of this nature collected in the prior performance year (if available) and compare these numbers and percentages to the current year assessment.

###